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DOCKET NO. : UPAP-0497

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: David B. Weiner,  
Bin Wang and Kenneth E. Ugen

Serial No.: Not yet assigned

Group Art Unit: Not yet assigned

Filing Date: Herewith

Examiner: Not yet assigned

For: METHODS OF INDUCING MUCOSAL IMMUNITY

EXPRESS MAIL LABEL NO: EL 884783757 US  
DATE OF DEPOSIT: February 14, 2002

EL 884783757US

Box ☒ Patent Application  
☐ Sequence ☐ Design

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

PATENT APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find

☒ A Utility Patent Application under 37 C.F.R. 1.53(b).

It is a continuing application, as follows:

☒ continuation ☐ divisional ☐ continuation-in-part of prior application number  
08/357,398.

☐ A Design Patent Application (submitted in duplicate).

☐ Request for Nonpublication is attached.

Including the following:

- ☐ New or Revised Specification, including pages \_\_\_ to \_\_\_ containing:
- ☐ Specification
  - ☐ Claims
  - ☐ Abstract
  - ☐ Substitute Specification, including Claims and Abstract.
- ☐ The present application is a continuation application of Application No. \_\_\_\_\_ filed \_\_\_\_\_. The present application includes the Specification of the parent application which has been revised in accordance with the amendments filed in the parent application. Since none of those amendments incorporate new matter into the parent application, the present revised Specification also does not include new matter.
- ☐ The present application is a continuation application of Application No. \_\_\_\_\_ filed \_\_\_\_\_, which in turn is a continuation-in-part of Application No. \_\_\_\_\_ filed \_\_\_\_\_. The present application includes the Specification of the parent application which has been revised in accordance with the amendments filed in the parent application. Although the amendments in the parent C-I-P application may have incorporated new matter, since those are the only revisions included in the present application, the present application includes no new matter in relation to the parent application.
- ☒ A copy of earlier application Serial No. 08/357,398 Filed December 16, 1994, including Specification, Claims and Abstract (pages 1 - 75), to which no new matter has been added TOGETHER WITH a copy of the executed oath or declaration for such earlier application and all drawings and appendices. Such earlier application is hereby incorporated into the present application by reference.
- ☐ Please enter the following amendment to the Specification under the Cross-Reference to Related Applications section (or create such a section) : "This Application:
- ☐ is a continuation of ☐ is a divisional of ☐ claims benefit of U.S. provisional Application Serial No. \_\_\_\_\_ filed \_\_\_\_\_.

- ☐ Signed Statement attached deleting inventor(s) named in the prior application.
- ☒ A Preliminary Amendment.
- ☐ \_\_\_\_\_ Sheets of Formal Drawings.
- ☐ Drawing view to publish: \_\_\_\_\_
- ☐ Petition to Accept Photographic Drawings.
- ☐ Petition Fee
- ☐ An ☐ Executed ☐ Unexecuted Declaration or Oath and Power of Attorney.
- ☒ An Associate Power of Attorney.
- ☐ An ☐ Executed ☐ Copy of Executed Assignment of the Invention to \_\_\_\_\_
- ☐ A Recordation Form Cover Sheet.
- ☐ Recordation Fee - \$40.00.
- ☒ The prior application is assigned of record to The Trustees of the University of Pennsylvania.
- ☐ Priority is claimed under 35 U.S.C. § 119 of Patent Application No. \_\_\_\_\_ filed \_\_\_\_\_ in \_\_\_\_\_ (country).
- ☐ A Certified Copy of each of the above applications for which priority is claimed:
- ☐ is enclosed.
- ☐ has been filed in prior application Serial No. \_\_\_\_\_ filed \_\_\_\_\_.
- ☐ Please enter the following amendment to the first sentence of the specification (or create such a sentence): "This application claims benefit of international application No. \_\_\_\_\_, which was published under PCT Article 21(2) in English."

- ☐ Applicant(s) by its/their undersigned attorney, claims small entity status under 37 C.F.R. §1.27 as:
- ☐ an Independent Inventor
  - ☐ a Small Business Concern
  - ☐ a Nonprofit Organization.
- ☐ Diskette Containing DNA/Amino Acid Sequence Information.
- ☐ Statement to Support Submission of DNA/Amino Acid Sequence Information.
- ☐ Sequence listing consisting of pages \_\_\_\_\_.
- ☒ The computer readable form in this application, is identical with that filed in Application Serial Number 08/357,398, filed December 16, 1994. In accordance with 37 CFR 1.821(e), please use the ☐ first-filed, ☒ last-filed or ☐ only computer readable form filed in that application as the computer readable form for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the Sequence Listing is ☒ included in the originally-filed specification of the instant application, ☐ included in a separately filed preliminary amendment for incorporation into the specification.
- ☐ Information Disclosure Statement.
- ☐ Attached Form 1449.
  - ☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☐ A copy of Petition for Extension of Time as filed in the prior case.
- ☐ Appended Material as follows: \_\_\_\_\_.
- ☒ Return Receipt Postcard (should be specifically itemized).

☐ Other as follows: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**FEE CALCULATION:**

☐ Cancel in this application original claims \_\_\_\_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

|  |           |           |  | SMALL ENTITY |     | NOT SMALL ENTITY |          |
|--|-----------|-----------|--|--------------|-----|------------------|----------|
|  |           |           |  | RATE         | FEE | RATE             | FEE      |
| DESIGN APPLICATION   |           |           |  | \$165.00     | \$  | \$330.00         | \$       |
| UTILITY APPLICATIONS BASE FEE  |           |           |  | \$370.00     | \$  | \$740.00         | \$740.00 |
| UTILITY APPLICATION; ALL CLAIMS CALCULATED AFTER ENTRY OF ALL AMENDMENTS |           |           |  |              |     |                  |          |
|  | No. Filed | No. Extra |  |              |     |                  |          |
| TOTAL CLAIMS   | 24- 20 =  | 4         |  | \$9 each     | \$  | \$18 each        | \$72.00  |
| INDEP. CLAIMS  | 2- 3 =    | 0         |  | \$42 each    | \$  | \$84 each        | \$0      |
| FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM                           |           |           |  | \$140        | \$  | \$280            | \$0      |
| ADDITIONAL FILING FEE  |           |           |  |              | \$  |                  | \$       |
| TOTAL FILING FEE DUE   |           |           |  |              | \$  |                  | \$812.00 |

- ☒ A Check is enclosed in the amount of \$812.00.
- ☒ The Commissioner is authorized to charge payment of the following fees and to refund any overpayment associated with this communication or during the pendency of this application to deposit account 23-3050. This sheet is provided in duplicate.
- ☐ The foregoing amount due.
- ☒ Any additional filing fees required, including fees for the presentation of extra claims under 37 C.F.R. 1.16.
- ☒ Any additional patent application processing fees under 37 C.F.R. 1.17 or 1.20(d).

- ☒ The Commissioner is hereby requested to grant an extension of time for the appropriate length of time, should one be necessary, in connection with this filing or any future filing submitted to the U.S. Patent and Trademark Office in the above-identified application during the pendency of this application. The Commissioner is further authorized to charge any fees related to any such extension of time to deposit account 23-3050. This sheet is provided in duplicate.

**SHOULD ANY DEFICIENCIES APPEAR** with respect to this application, including deficiencies in payment of fees, missing parts of the application or otherwise, the United States Patent and Trademark Office is respectfully requested to promptly notify the undersigned.

Date:

2/14/02



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